

Special Research Grants Program – Pest Management Alternatives Research: Special Program Addressing Food Quality Protection Act Issues

FY 2003 Request for Applications

APPLICATION DEADLINE: February 28, 2003



U.S. Department of Agriculture



Cooperative State Research, Education, and Extension Service

SUMMARY: The Cooperative State Research, Education, and Extension Service (CSREES) requests applications for the Special Research Grants Program - Pest Management Alternatives Research: Addressing Food Quality Protection Act Issues (PMAP) for fiscal year (FY) 2003 to address needs in integrated pest management (IPM) for food, feed, fiber, forest, livestock, and ornamental commodities resulting from the implementation of the Food Quality Protection Act of 1996 (FQPA) (Pub. L. No. 104-170) and related regulatory actions. CSREES anticipates that approximately \$1.5 million will be available for support of this program in FY 2003.

This notice identifies the objectives for PMAP projects, the eligibility criteria for projects and applicants, and the application forms and associated instructions needed to apply for a PMAP grant. CSREES additionally requests stakeholder input from any interested party for use in the development of the next Request for Applications (RFA) for this program.

DATES: Applications must be received by close of business (COB) on February 28, 2003 (5:00 p.m. Eastern Time). Applications received after this deadline will not be considered for funding. Comments regarding this RFA are requested within six months from the issuance of this notice. Comments received after that date will be considered to the extent practical.

ADDRESSES: The address for hand-delivered applications or applications submitted using an express mail or overnight courier service is: Special Research Grants Program - PMAP; c/o Proposal Services Unit; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; Room 1420, Waterfront Centre; 800 9th Street, S.W.; Washington, D.C. 20024; Telephone: (202) 401-5048.

Applications sent via the U.S. Postal Service must be sent to the following address: Special Research Grants Program - PMAP; c/o Proposal Services Unit; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; STOP 2245; 1400 Independence Avenue, S.W.; Washington, D.C. 20250-2245.

Written stakeholder comments should be submitted by mail to: Policy and Program Liaison Staff; Office of Extramural Programs; USDA CSREES; STOP 2299; 1400 Independence Avenue, S.W.; Washington, D.C. 20250-2299; or via e-mail to: RFP-OEP@reeusda.gov. (This e-mail address is intended only for receiving comments regarding this RFA and not requesting information or forms.) In your comments, please state that you are responding to the Special Research Grants Program - Pest Management Alternatives Research: Addressing Food Quality Protection Act Issues RFA for FY 2003.

FOR FURTHER INFORMATION CONTACT: Applicants and other interested parties are encouraged to contact Monte P. Johnson; National Program Leader; Plant and Animal Systems Unit; Cooperative State Research, Education, and Extension Service; U.S. Department of Agriculture; STOP 2220; 1400 Independence Avenue, S.W.; Washington, D.C. 20250-2220; Telephone: (202) 401-1108; Fax: (202) 401-4888; E-mail: mpjohnson@reeusda.gov.

STAKEHOLDER INPUT: CSREES is requesting comments regarding this RFA from any interested party. These comments will be considered in the development of the next RFA for the program. Such comments will be used to meet the requirements of section 103(c)(2) of the

Agricultural Research, Extension, and Education Reform Act of 1998 (7 U.S.C. 7613(c)(2)). This section requires the Secretary to solicit and consider input on a current RFA from persons who conduct or use agricultural research, education and extension for use in formulating future RFAs for competitive programs. Comments should be submitted as provided for in the **Addresses** and **Dates** portions of this notice.

CATALOG OF FEDERAL DOMESTIC ASSISTANCE: This program is listed in the Catalog of Federal Domestic Assistance under 10.200, Grants for Agricultural Research, Special Research Grants.

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PART I--GENERAL INFORMATION

A. Legislative Authority and Background

The Special Research Grants Program - Pest Management Alternatives Research: Addressing Food Quality Protection Act Issues (PMAP) is administered by the Cooperative State Research, Education, and Extension Service (CSREES) of the U.S. Department of Agriculture (USDA). The authority for this program is contained in subsection (c)(1)(A) of Section 2 of the Competitive, Special, and Facilities Research Grant Act, (Pub. L. No. 89-106), as amended (7 U.S.C. 450(c)(1)(A)). Under this authority, subject to the availability of funds, the Secretary may make grants, for periods not to exceed three years, to State agricultural experiment stations, all colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations, and individuals for the purpose of conducting research to facilitate or expand promising breakthroughs in areas of the food and agricultural sciences of importance to the United States.

PMAP was developed pursuant to the Memorandum of Understanding (MOU) between USDA and EPA signed August 15, 1994, and amended April 18, 1996, which establishes a coordinated framework for these two agencies to support programs that make alternative IPM tactics and approaches available to agricultural producers. In this MOU, USDA and EPA agree to cooperate in conducting the research, demonstration, technology transfer, and registration activities necessary to address IPM alternatives.

B. Purpose, Priorities, and Fund Availability

Several pest management programs and pest control practices are confronting severe economic and production impacts as pesticide uses are eliminated due to implementation of the FQPA and other related actions. It is likely that horticultural production will experience the greatest effects, including fruit, vegetable, nursery, and greenhouse crop systems. However, other crops, including grain, forage and fiber, are also being influenced by these changes.

PMAP was established to support the development and implementation of IPM systems when regulatory action by the U.S. Environmental Protection Agency (EPA), or voluntary cancellation by the registrant, result in the unavailability of certain pesticide uses. These activities pertain to pesticides identified for possible regulatory action: (1) under Section 210 of the FQPA (Pub. L. No. 104-170), which amended the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) (7 U.S.C. 136 et seq.); or (2) through EPA's pesticide reregistration program.

There is no commitment by USDA to fund any particular application or to make a specific number of awards. CSREES anticipates that approximately \$1.5 million will be available to fund PMAP applications in FY 2003.

C. Eligibility

Applications may be submitted by State agricultural experiment stations, colleges and universities, other research institutions and organizations, Federal agencies, private organizations or corporations, and individuals. While their collaboration is encouraged, scientists affiliated with non-United States organizations and scientists who are directly or indirectly engaged in the development of pest management tactics for profit are not eligible to serve as Project Directors (PDs) for PMAP funded projects. Award recipients may subcontract to organizations not eligible to apply provided such organizations are necessary for the conduct of the project.

D. Indirect Costs

Pursuant to Section 1462 of the National Agricultural Research, Extension, and Teaching Policy Act of 1977 (NARETPA), as amended (7 U.S.C. 3310), indirect costs for this program are limited to 19 percent of the total Federal funds provided under each award. Therefore, the recovery of indirect costs under this program may not exceed the lesser of the institution's official negotiated indirect cost rate or the equivalent of 19 percent of total Federal funds awarded. Another method of calculating the maximum allowable is 23.456 percent of the total direct costs. (This limitation also applies to the recovery of indirect costs by any subawardee or subcontractor, and should be reflected in the subrecipients' budgets.) If no rate has been negotiated, a reasonable dollar amount (equivalent to or less than 19 percent of total Federal funds requested) in lieu of indirect costs may be requested, subject to approval by USDA. This same indirect cost limitation applies to subcontracts.

E. Matching Requirements

There are no matching requirements for PMAP grants awarded under this authority and matching resources will not be factored into the review process as evaluation criteria.

F. Funding Restrictions

CSREES has determined that grant funds awarded under Section 2(c)(1)(A) of the Competitive, Special, and Facilities Research Grant Act may not be used for the renovation or refurbishment of research space; the purchase or installation of fixed equipment in such space; or the planning, repair, rehabilitation, acquisition, or construction of buildings or facilities.

G. Types of Applications

In FY 2003, applications may be submitted to PMAP as one of the following two types of requests:

1. New application. This is a project application that has not been previously submitted to PMAP. All new applications will be reviewed competitively using the selection process and evaluation criteria described in Part IV--Review Process.

2. Resubmitted application. This is an application that had previously been submitted to PMAP but not funded. PDs must respond to the previous review panel summary (see Response

to Previous Review, Part III.B.5). Resubmitted applications must be received by the relevant due dates, will be evaluated in competition with other pending applications in appropriate area to which they are assigned, and will be reviewed according to the same evaluation criteria as new applications.

PART II--PROGRAM DESCRIPTION

A. Project Types

Grants will be made for two (2) years and recipient may request a one (1) year extension. Public-private partnerships, including partnerships that involve producer or commodity groups, are encouraged.

B. Applicant Peer Review Requirements

Subsection (c)(5) (A) of the Competitive, Special, and Facilities Research Grant Act, as amended (7 U.S.C. 450i(c)(5)(A)), requires applicants to conduct a scientific peer review of a proposed research project in accordance with regulations promulgated by the Secretary prior to the Secretary making a grant award under this authority. Regulations implementing this requirement are set forth in 7 CFR 3400.20 and 7 CFR 3400.21. The regulations impose the following requirements for scientific peer review by applicants of proposed research projects:

1. *Credible and independent.* Review arranged by the grantee must provide for a credible and independent assessment of the proposed project. A credible review is one that provides an appraisal of technical quality and relevance sufficient for an organizational representative to make an informed judgment as to whether the proposal is appropriate for submission for Federal support. To provide for an independent review, such review may include USDA employees, but should not be conducted solely by USDA employees.
2. *Notice of completion and retention of records.* A notice of completion of the review shall be conveyed in writing to CSREES either as part of the submitted proposal or prior to the issuance of an award, at the option of CSREES (Part III, B., 15.). The written notice constitutes certification by the applicant that a review in compliance with these regulations has occurred. Applicants are not required to submit results of the review to CSREES; however, complete documentation of the review process and results should be retained by the applicant.
3. *Renewal and supplemental grants.* Review by the grantee is not automatically required for renewal or supplemental grants as defined in 7 CFR 3400.6. A subsequent grant award will require a new review if, according to CSREES, either the funded project has changed significantly, other scientific discoveries have affected the project, or the need for the project has changed. Note that a new review is necessary when applying for another standard or continuation grant after expiration of the grant term.

C. Program Area Description

The program's objectives are to:

- (a) Adapt technological approaches to IPM for both pre- and post-harvest use (e.g., reduced rates, timing, application methods and equipment that could reduce reliance on pesticides or residues);

- (b) Adapt and demonstrate IPM tactics based on alternative technologies, including products of genetic engineering, biological organisms, biological pesticides, new chemical pesticides, and cultural practices; and
- (c) Describe and field demonstrate how tactics can be economically and practically integrated into production systems for individual crops.

PMAP projects adapt and demonstrate alternative technologies for specific pesticide uses and IPM needs. They support efforts to modify existing tactics or create different pest management approaches and demonstrate the effectiveness of their methods. PMAP applications should: (1) demonstrate potential for near-term implementation of project results/findings/developments; (2) show potential for commercialization (including product registration, if necessary) of any technologies developed as a result of the project; and (3) demonstrate that projects are responding to pest management needs and priorities identified by stakeholders.

In FY 2003, PMAP will accept applications that focus on one of the following two program areas: (1) technology, which must include an extension/outreach component; and (2) outreach.

1. Technology

Projects in this program area should focus on modifying existing approaches or developing and introducing new methods, including biologically-based methods, that can be brought to bear rapidly on pest management challenges. **Projects in this program area must include an extension/outreach component.** Durability and practicality of the proposed pest management option(s) or mitigation procedure(s), and compatibility with IPM systems, are critical. Both technological and economic feasibility should be considered. Proposed pest management alternatives or risk mitigation options should address various risk concerns including dietary, occupational and non-occupational exposure; ground and/or surface water; and other ecological risks. Applications must provide compelling evidence as to the importance of the proposed research in addressing a pest problem (e.g., need identified by IR-4 priority setting, a crop profile, or a pest management strategic plan).

2. Outreach

Projects in this program area should focus on technologies or mitigation strategies that have been developed and show promise, but require field demonstration. Outreach projects should promote the exchange of IPM information between stakeholders, including researchers, extension specialists and agents, consultants, growers, and any other affected parties.

PART III--PREPARATION OF AN APPLICATION

A. Program Application Materials

Program application materials are available at the CSREES Funding Opportunities web site (<http://www.reeusda.gov/1700/funding/ourfund.htm>). If you do not have access to the web page or have trouble downloading material and you would like a hard copy, you may contact the Proposal Services Unit, Office of Extramural Programs, USDA/CSREES at (202) 401-5048. When calling the Proposal Services Unit, please indicate that you are requesting the RFA and associated application forms for the Special Research Grants Program - Pest Management Alternatives Research: Addressing Food Quality Protection Act Issues for FY 2003. These materials also may be requested via Internet by sending a message with your name, mailing address (not e-mail) and phone number to psb@reeusda.gov. State that you want a copy of the RFA and the associated application forms for the Special Research Grants Program - Pest Management Alternatives Research: Addressing Food Quality Protection Act Issues.

B. Content of Applications

The applications should be prepared following the guidelines and the instructions below. Each application must contain the following elements in the order indicated:

1. General

Use the following guidelines to prepare an application. Proper preparation of applications will assist reviewers in evaluating the merits of each application in a systematic, consistent fashion:

- (a) Prepare the application on only one side of the page using standard size (8 1/2" x 11") white paper, one-inch margins, typed or word processed using no type smaller than 12 point font, and single or double spaced. Use an easily readable font face (e.g., Geneva, Helvetica, Times Roman).
- (b) Number each page of the application sequentially, starting with the Project Description, including the budget pages, required forms, and any appendices.
- (c) Staple the application in the upper left-hand corner. Do not bind. An original and ten (10) copies (11 total) must be submitted in one package, along with eleven (11) additional copies of the "Project Summary," Form CSREES-2003, as a separate attachment.
- (d) Include high quality illustrations in all copies of the application.
- (e) The contents of the application should be assembled in the following order:
 - (1) Proposal Cover Page (Form CSREES-2002)
 - (2) Table of Contents

- (3) Project Summary (Form CSREES-2003)
- (4) Response to Previous Review (if applicable)
- (5) Project Description
- (6) References
- (7) Appendices to Project Description
- (8) Key Personnel
- (9) Collaborative Arrangements (including Letters of Support)
- (10) Conflict-of-Interest List (Form CSREES-2007)
- (11) Budget (Form CSREES-2004)
- (12) Budget Narrative
- (13) Current and Pending Support (Form CSREES-2005)
- (14) Assurance Statement(s) (Form CSREES-2008)
- (15) Compliance with the National Environmental Policy Act (NEPA) (Form CSREES-2006)
- (16) Page B, Proposal Cover Page (Form CSREES-2002), Personal Data on Project Director

2. Proposal Cover Page (Form CSREES-2002)

Page A

Each copy of each grant application must contain a “Proposal Cover Page”, Form CSREES-2002. One copy of the application, preferably the original, must contain the pen-and-ink signature(s) of the proposing PDs and the authorized organizational representative (AOR), the individual who possesses the necessary authority to commit the organization's time and other relevant resources to the project. If there are more than three co-PDs for an application, please list additional co-PDs on a separate sheet of paper (with appropriate information and signatures) and attach to the Proposal Cover Page (Form CSREES-2002). Any proposed PD or co-PD whose signature does not appear on Form CSREES-2002 or attached additional sheets will not be listed on any resulting grant award. Complete both signature blocks located at the bottom of the “Proposal Cover Page” form. Please note that Form CSREES-2002 is comprised of two parts - Page A, which is the “Proposal Cover Page” and Page B, which is the “Personal Data on Project Director.”

Form CSREES-2002 serves as a source document for the CSREES grant database; it is therefore important that it be accurately completed in its entirety, especially the e-mail addresses requested in Blocks 4.c. and 18.c. However, the following items are highlighted as having a high potential for errors or misinterpretations:

- (a) Type of Performing Organization (Block 6.a. and 6.b.). For Block 6.a., a check should be placed in the appropriate box to identify the type of organization that is the legal recipient named in Block 1. Only one box should be checked. For Block 6.b., please check as many boxes that apply to the affiliation of the PD listed in Block 16.
- (b) Title of Proposed Project (Block 7.). The title of the project must be brief (140-character maximum, including spaces), yet represent the major thrust of the effort

being proposed. Project titles are read by a variety of nonscientific people; therefore, highly technical words or phraseology should be avoided where possible. In addition, introductory phrases such as “investigation of,” “research on,” “education for,” or “outreach that” should not be used.

(c) Program to Which You Are Applying (Block 8.). Enter Special Research Grants - Pest Management Alternatives Program (PMAP).

(d) Type of Request (Block 14.). Check the block for “New,” or “Resubmission.”

(e) Project Director (PD) (Blocks 16.-19.). Blocks 16.-18. are used to identify the PD and Block 19. to identify co-PDs. If needed, additional co-PDs may be listed on a separate sheet of paper and attached to Form CSREES-2002, the Proposal Cover Page, with the applicable co-PD information and signatures. Listing multiple co-PDs, beyond those required for genuine collaboration, is discouraged.

(f) Other Possible Sponsors (Block 21.). List the names or acronyms of all other public or private sponsors including other agencies within USDA to which your application has been or might be sent. In the event you decide to send your application to another organization or agency at a later date, you must inform the identified CSREES program contact as soon as practicable. Submitting your application to other potential sponsors will not prejudice its review by CSREES; however, submitting the same (i.e., duplicate) application to another CSREES program is not permissible. **PDs must disclose all other potential sponsors of the project.**

Page B

Page B should be submitted only with the original signature copy of the application and should be placed as the last page of the original copy of the application. This page contains personal data on the PD(s). CSREES requests this information in order to monitor the operation of its review and awards processes. This page will not be duplicated or used during the review process. Please note that failure to submit this information will in no way affect consideration of your application.

3. Table of Contents

For consistency and ease in locating information, each application must contain a detailed Table of Contents immediately following the proposal cover page. The Table of Contents should contain page numbers for each component of the application. Page numbering should begin with the first page of the Project Description.

4. Project Summary (Form CSREES-2003)

The application must contain a “Project Summary,” Form CSREES-2003. The summary should be approximately 250 words, contained within the box, placed immediately after the Table of Contents, and not numbered. The names and affiliated organizations of all PDs and co-PDs should be listed on this form, in addition to the title of the project. The summary should be a self-

contained, specific description of the activity to be undertaken and should focus on: overall project goal(s) and supporting objectives; plans to accomplish project goal(s); and relevance of the project to the goals of PMAP. The importance of a concise, informative Project Summary cannot be overemphasized. If there are more than three co-PDs for an application, please list additional co-PDs on a separate sheet of paper (with appropriate information) and attach to the Project Summary (Form CSREES-2003).

5. Response to Previous Review

This requirement only applies to “Resubmitted Applications” as described under Part I, G., “Types of Applications”. PDs must respond to the previous review panel summary on no more than one page, titled “RESPONSE TO PREVIOUS REVIEW,” which is to be placed directly after the “Project Summary,” Form CSREES-2003.

6. Project Description

PLEASE NOTE: The Project Description section may not exceed a total of eighteen (18) single- or double-spaced pages including figures and tables. This maximum has been established to ensure fair and equitable competition. The Project Description must include all of the following:

- (a) Problem statement:** Identify the pest management problem addressed, its significance, and options for a solution. Identify the commodity(ies) and the pesticides that will be addressed by the proposed project. Identify the production area addressed, its size (for example, acreage), frequency and severity of losses, and the potential applicability of this study to other production regions. As appropriate, proposals should address issues as they relate to current IPM and crop production practices, technologic and economic feasibility of potential new practices, and the potential durability of these new practices.
- (b) Objectives:** Provide clear, concise, complete, and logically arranged statements of the project’s proposed objectives.
- (c) Research, education, and technology transfer plan (required for the projects in the technology program area only):** Provide a credible, detailed plan for the research, education, and technology transfer.
- (d) Progress and/or final report (required for projects that build on previously funded PMAP projects only)**

7. References

All references to works cited should be complete, including titles and all co-authors, and should conform to an acceptable journal format. References are not considered in the page-limitation for the Project Description.

8. Appendices to Project Description

Appendices to the Project Description are allowed if they are directly germane to the proposed project. The addition of appendices should not be used to circumvent page limitations.

9. Key Personnel

The following should be included, as applicable:

- (a) The roles and responsibilities of each PD and/or collaborator should be clearly described; and
- (b) The vitae of the PD and each co-PD, senior associate, and other professional personnel. This section should include vitae of all key persons who are expected to work on the project, whether or not CSREES funds are sought for their support. The vitae should be limited to two (2) pages each in length, excluding publications listings. The vitae should include a presentation of academic and research credentials, as applicable, e.g., earned degrees, teaching experience, employment history, professional activities, honors and awards, and grants received. A chronological list of all publications in refereed journals during the past four (4) years, including those in press, must be provided for each project member for whom a curriculum vitae is provided. Also list only those non-refereed technical publications that have relevance to the proposed project. All authors should be listed in the same order as they appear on each paper cited, along with the title and complete reference as these usually appear in journals.

10. Collaborative Arrangements

If it will be necessary to enter into formal consulting or collaborative arrangements with others, such arrangements should be fully explained and justified. If the consultant(s) or collaborator(s) are known at the time of application, a vitae or resume should be provided. In addition, evidence (e.g., letter of support signed by collaborators) should be provided that the collaborators involved have agreed to render these services. The applicant also will be required to provide additional information on consultants and collaborators in the budget portion of the application. See instructions in the application forms for completing Form CSREES-2004, Budget.

11. Conflict-of-Interest List (Form CSREES-2007)

A "Conflict-of-Interest List," Form CSREES-2007, must be provided for all individuals who have submitted a vitae in response to item 9.(b) of this part. Each Form CSREES-2007 should list alphabetically, by the last names, the full names of the individuals in the following categories: (a) all co-authors on publications within the past four years, including pending publications and submissions; (b) all collaborators on projects within the past four years, including current and planned collaborations; (c) all thesis or postdoctoral advisees/advisors within the past four years; and (d) all persons in your field with whom you have had a consulting or financial arrangement within the past four years, who stand to gain by seeing the project

funded. This form is necessary to assist program staff in excluding from application review those individuals who have conflicts of interest with the personnel in the grant application. The program contact must be informed of any additional conflicts of interest that arise after the application is submitted.

12. Budget

(a) Budget Form (Form CSREES-2004)

Prepare the Budget, Form CSREES-2004, **in accordance with instructions provided with the application forms.** A budget form is required for each year of requested support. In addition, a cumulative budget is required detailing the requested total support for the overall project period. The budget form may be reproduced as needed by applicants. Funds may be requested under any of the categories listed on the form, provided that the item or service for which support is requested is allowable under the authorizing legislation, the applicable statutes, regulations, and Federal cost principles, and these program guidelines, and can be justified as necessary for the successful conduct of the proposed project. Applicants also must include a budget narrative to justify their budget requests (see **(c)**, below).

(b) Indirect Costs

Indirect costs should be calculated as specified in Part I, D., and identified on Line L. of the Budget (Form CSREES-2004).

(c) Budget Narrative

All budget categories, with the exception of Indirect Costs, for which support is requested, must be individually listed (with costs) in the same order as the budget and justified on a separate sheet of paper and placed immediately behind the Budget form.

13. Current and Pending Support (Form CSREES-2005)

All applications must contain Form CSREES-2005 listing other current public or private support (including in-house support) to which personnel (i.e., individuals submitting a vitae in response to item 9.(b) of this part) identified in the application have committed portions of their time, whether or not salary support for person(s) involved is included in the budget. Please follow the instructions provided on this form. Concurrent submission of identical or similar applications to the possible sponsors will not prejudice application review or evaluation by the CSREES. However, an application that duplicates or overlaps substantially with an application already reviewed and funded (or to be funded) by another organization or agency will not be funded under this program. **Please note that the project being proposed should be included in the pending section of the form.**

14. Assurance Statement(s) (Form CSREES-2008)

A number of situations encountered in the conduct of projects require special assurances, supporting documentation, etc., before funding can be approved for the project. In addition to any other situation that may exist with regard to a particular project, applications involving any of the following elements must comply with the additional requirements as applicable.

(a) Recombinant DNA or RNA Research

As stated in 7 CFR Part 3015.205 (b)(3), all key personnel identified in the application and all endorsing officials of the proposing organization are required to comply with the guidelines established by the National Institutes of Health entitled, “Guidelines for Research Involving Recombinant DNA Molecules,” as revised. If your project proposes to use recombinant DNA or RNA techniques, you must so indicate by checking the “yes” box in Block 20 of Form CSREES-2002 (the Proposal Cover Page) and by completing Section A of Form CSREES-2008. For applicable applications recommended for funding, Institutional Biosafety Committee approval is required before CSREES funds will be released. Please refer to the application forms for further instructions.

(b) Animal Care

Responsibility for the humane care and treatment of live vertebrate animals used in any grant project supported with funds provided by CSREES rests with the performing organization. Where a project involves the use of living vertebrate animals for experimental purposes, all key personnel identified in an application and all endorsing officials of the proposing organization are required to comply with the applicable provisions of the Animal Welfare Act of 1966, as amended (7 U.S.C. 2131 et seq.), and the regulations promulgated thereunder by the Secretary in 9 CFR Parts 1, 2, 3, and 4 pertaining to the care, handling, and treatment of these animals. If your project will involve these animals, you should check “yes” in Block 20 of Form CSREES-2002 and complete Section B of Form CSREES-2008. In the event a project involving the use of live vertebrate animals results in a grant award, funds will be released only after the Institutional Animal Care and Use Committee has approved the project. Please refer to the application forms for further instructions.

(c) Protection of Human Subjects

Responsibility for safeguarding the rights and welfare of human subjects used in any grant project supported with funds provided by CSREES rests with the performing organization. Guidance on this issue is contained in the National Research Act, Pub. L. No. 93-348, as amended, and implementing regulations promulgated by the Department under 7 CFR Part 1c. If you propose to use human subjects in your project, you should check the “yes” box in Block 20 of Form CSREES-2002 and complete Section C of Form CSREES-2008. In the event a project involving human subjects is recommended for award, funds will be released only after the Institutional Review Board (IRB) has approved the research plan and CSREES has accepted

documentation of the IRB approval. Please refer to the application forms for additional instructions.

15. Certifications

By signing Form CSREES-2002, the AOR of the applicant institution is providing the required certification that the full proposal has received a credible and independent peer review arranged by the institution (see Part II, B.)

Note that by signing Form CSREES-2002 the applicant is providing the certifications required by 7 CFR Part 3017, regarding Debarment and Suspension and Drug-Free Workplace, and 7 CFR Part 3018, regarding Lobbying. The certification forms are included in the application package for informational purposes only. These forms should not be submitted with the application since by signing Form CSREES-2002 your organization is providing the required certifications. If the project will involve a subcontractor or consultant, the subcontractor or consultant should submit a Form AD-1048, Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions, to the grantee organization for retention in their records. This form should not be submitted to USDA.

16. Compliance with the National Environmental Policy Act (NEPA) (Form CSREES-2006)

As outlined in 7 CFR Part 3407 (the CSREES regulations implementing NEPA), the environmental data for any proposed project is to be provided to CSREES so that CSREES may determine whether any further action is needed. In some cases, however, the preparation of environmental data may not be required. Certain categories of actions are excluded from the requirements of NEPA.

In order for CSREES to determine whether any further action is needed with respect to NEPA, pertinent information regarding the possible environmental impacts of a particular project is necessary; therefore, Form CSREES-2006, "NEPA Exclusions Form," must be included in the application indicating whether the applicant is of the opinion that the project falls within a categorical exclusion and the reasons therefore. If it is the applicant's opinion that the proposed project falls within the categorical exclusions, the specific exclusion(s) must be identified.

Even though a project may fall within the categorical exclusions, CSREES may determine that an Environmental Assessment or an Environmental Impact Statement is necessary for an activity, if substantial controversy on environmental grounds exists or if other extraordinary conditions or circumstances are present which may cause such activity to have a significant environmental effect.

A. Submission of Applications

1. When to Submit (Deadline Date)

Applications must be received by close of business on February 28, 2003 (5:00 p.m. Eastern Time). Applications received after this deadline will not be considered for funding.

2. What to Submit

An original and ten (10) copies of the application must be submitted. In addition, eleven (11) copies of the application's Project Summary must be submitted. All copies of the application and the Project Summary must be submitted in one package.

3. Where to Submit

Applicants are strongly encouraged to submit completed applications via overnight mail or delivery service to ensure timely receipt by the USDA. The address for hand-delivered applications or applications submitted using an express mail or overnight courier service is:

Special Research Grants - Pest Management
Alternatives Program (PMAP)
c/o Proposal Services Unit
Cooperative State Research, Education, and Extension Service
U.S. Department of Agriculture
Room 1420, Waterfront Centre
800 9th Street, S.W.
Washington, D.C. 20024
Telephone: (202) 401-5048

Applications sent via the U.S. Postal Service must be sent to the following address:

Special Research Grants - Pest Management
Alternatives Program (PMAP)
c/o Proposal Services Unit
Cooperative State Research, Education, and Extension Service
U.S. Department of Agriculture
STOP 2245
1400 Independence Avenue, S.W.
Washington, D.C. 20250-2245

D. Acknowledgment of Applications

The receipt of all applications will be acknowledged by e-mail. Therefore, applicants are strongly encouraged to provide accurate e-mail addresses, where designated, on the Form CSREES-2002. If the applicant's e-mail address is not indicated, CSREES will acknowledge receipt of the application by letter.

Applicants who do not receive an acknowledgment within 60 days of the submission deadline should contact the program contact. Once the application has been assigned an application number, applicants should cite that number on all future correspondence.

PART IV--REVIEW PROCESS

A. General

Each application will be evaluated in a 2-part process. First, each application will be screened to ensure that it meets the administrative requirements as set forth in this RFA. Second, applications that meet these requirements will be technically evaluated by a review panel.

Reviewers will be selected based upon training and experience in relevant scientific, extension, or education fields, taking into account the following factors: (a) the level of relevant formal scientific, technical education, or extension experience of the individual, as well as the extent to which an individual is engaged in relevant research, education, or extension activities; (b) the need to include as reviewers experts from various areas of specialization within relevant scientific, education, or extension fields; (c) the need to include as reviewers other experts (e.g., producers, range or forest managers/operators, and consumers) who can assess relevance of the applications to targeted audiences and to program needs; (d) the need to include as reviewers experts from a variety of organizational types (e.g., colleges, universities, industry, state and Federal agencies, private profit and non-profit organizations) and geographic locations; (e) the need to maintain a balanced composition of reviewers with regard to minority and female representation and an equitable age distribution; and (f) the need to include reviewers who can judge the effective usefulness to producers and the general public of each application.

B. Evaluation Criteria

The evaluation criteria below will be used in reviewing applications submitted in response to this RFA:

Proposal Evaluation Criteria

1. Importance and relevance of the proposal to the grant program;
2. Appropriateness of research and/or outreach objectives;
3. Appropriateness of design and methodology;
4. Professional competence and experience of all investigator(s), involvement of relevant disciplines;
5. Feasibility of attaining objectives during the project period;
6. Involvement of stakeholders;
7. Adherence to the proposal guidelines; and
8. Appropriateness of the budget.

C. Conflicts of Interest and Confidentiality

During the peer evaluation process, extreme care will be taken to prevent any actual or perceived conflicts of interest that may impact review or evaluation. For the purpose of determining conflicts of interest, the academic and administrative autonomy of an institution shall be determined by reference to the 2002 Higher Education Directory, published by Higher Education Publications, Inc., 6400 Arlington Boulevard, Suite 648, Falls Church, VA 22042. Phone: (703) 532-2300. Web site: <http://www.hepinc.com>.

Names of submitting institutions and individuals, as well as application content and peer evaluations, will be kept confidential, except to those involved in the review process, to the extent permitted by law. In addition, the identities of peer reviewers will remain confidential throughout the entire review process. Therefore, the names of the reviewers will not be released to applicants. At the end of the fiscal year, names of panelists will be made available in such a way that the panelists cannot be identified with the review of any particular application.

PART V--AWARD ADMINISTRATION

A. General

Within the limit of funds available for such purpose, the awarding official of CSREES shall make grants to those responsible, eligible applicants whose applications are judged most meritorious under the procedures set forth in this RFA. The date specified by the awarding official of CSREES as the effective date of the grant shall be no later than September 30 of the Federal fiscal year in which the project is approved for support and funds are appropriated for such purpose, unless otherwise permitted by law. It should be noted that the project need not be initiated on the grant effective date, but as soon thereafter as practical so that project goals may be attained within the funded project period. All funds granted by CSREES under this RFA shall be expended solely for the purpose for which the funds are granted in accordance with the approved application and budget, the regulations, the terms and conditions of the award, the applicable Federal cost principles, and the Department's assistance regulations (parts 3015 and 3019 of 7 CFR).

B. Organizational Management Information

Specific management information relating to an applicant shall be submitted on a one-time basis as part of the responsibility determination prior to the award of a grant identified under this RFA, if such information has not been provided previously under this or another CSREES program. CSREES will provide copies of forms recommended for use in fulfilling these requirements as part of the preaward process. Although an applicant may be eligible based on its status as one of these entities, there are factors which may exclude an applicant from receiving Federal financial and nonfinancial assistance and benefits under this program (e.g., debarment or suspension of an individual involved or a determination that an applicant is not responsible based on submitted organizational management information).

C. Award Document and Notice of Award

The grant award document will provide pertinent instructions and information including, at a minimum, the following:

1. Legal name and address of performing organization or institution to whom the Administrator has awarded a grant under the terms of this request for applications;
2. Title of project;
3. Name(s) and institution(s) of PD(s) chosen to direct and control approved activities;
4. Identifying grant number assigned by the Department;
5. Project period, specifying the amount of time the Department intends to support the project without requiring recompetition for funds;

6. Total amount of Departmental financial assistance approved by the Administrator during the project period;
7. Legal authority(ies) under which the grant is awarded;
8. Appropriate Catalog of Federal Domestic Assistance (CFDA) number;
9. Approved budget plan for categorizing allocable project funds to accomplish the stated purpose of the grant award; and
10. Other information or provisions deemed necessary by CSREES to carry out its respective granting activities or to accomplish the purpose of a particular grant.

PART VI--ADDITIONAL INFORMATION

A. Access to Review Information

Copies of reviews, not including the identity of reviewers, and a summary of the panel comments will be sent to the applicant PD after the review process has been completed.

B. Use of Funds; Changes

1. Delegation of Fiscal Responsibility

Unless the terms and conditions of the grant state otherwise, the grantee may not in whole or in part delegate or transfer to another person, institution, or organization the responsibility for use or expenditure of grant funds.

2. Changes in Project Plans

- (a) The permissible changes by the grantee, PD(s), or other key project personnel in the approved project grant shall be limited to changes in methodology, techniques, or other similar aspects of the project to expedite achievement of the project's approved goals. If the grantee or the PD(s) is uncertain as to whether a change complies with this provision, the question must be referred to the Authorized Departmental Officer (ADO) for a final determination. The ADO is the signatory of the award document, not the program contact.
- (b) Changes in approved goals or objectives shall be requested by the grantee and approved in writing by the ADO prior to effecting such changes. In no event shall requests for such changes be approved which are outside the scope of the original approved project.
- (c) Changes in approved project leadership or the replacement or reassignment of other key project personnel shall be requested by the grantee and approved in writing by the ADO prior to effecting such changes.
- (d) Transfers of actual performance of the substantive programmatic work in whole or in part and provisions for payment of funds, whether or not Federal funds are involved, shall be requested by the grantee and approved in writing by the ADO prior to effecting such transfers, unless prescribed otherwise in the terms and conditions of the grant.
- (e) Changes in Project Period: The project period may be extended by CSREES without additional financial support, for such additional period(s) as the ADO determines may be necessary to complete or fulfill the purposes of an approved project, but in no case shall the total project period exceed five years. Any extension of time shall be

conditioned upon prior request by the grantee and approval in writing by the ADO, unless prescribed otherwise in the terms and conditions of a grant.

- (f) **Changes in Approved Budget:** Changes in an approved budget must be requested by the grantee and approved in writing by the ADO prior to instituting such changes if the revision will involve transfers or expenditures of amounts requiring prior approval as set forth in the applicable Federal cost principles, Departmental regulations, or grant award.

C. Expected Program Outputs and Reporting Requirements

Reporting requirements include a midterm progress report (not to exceed two (2) pages); a final technical report (not to exceed three (3) pages, plus relevant illustrations and appendices); and a lay summary (one (1) page) reporting accomplishments and the potential impact of the project.

D. Applicable Federal Statutes and Regulations

Several Federal statutes and regulations apply to grant applications considered for review and to project grants awarded under this program. These include, but are not limited to:

7 CFR Part 1, subpart A--USDA implementation of the Freedom of Information Act.

7 CFR Part 3--USDA implementation of OMB Circular No. A-129 regarding debt collection.

7 CFR Part 15, subpart A--USDA implementation of Title VI of the Civil Rights Act of 1964, as amended.

7 CFR Part 3015--USDA Uniform Federal Assistance Regulations, implementing OMB directives (i.e., OMB Circular Nos. A-21 and A-122) and incorporating provisions of 31 U.S.C. 6301-6308 (formerly the Federal Grant and Cooperative Agreement Act of 1977, Pub. L. No. 95-224), as well as general policy requirements applicable to recipients of Departmental financial assistance.

7 CFR Part 3017--USDA implementation of Governmentwide Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants).

7 CFR Part 3018--USDA implementation of Restrictions on Lobbying. Imposes prohibitions and requirements for disclosure and certification related to lobbying on recipients of Federal contracts, grants, cooperative agreements, and loans.

7 CFR Part 3019--USDA implementation of OMB Circular A-110, Uniform Administrative Requirements for Grants and Other Agreements With Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations.

7 CFR Part 3052--USDA implementation of OMB Circular No. A-133, Audits of States, Local Governments, and Non-profit Organizations.

7 CFR Part 3407--CSREES procedures to implement the National Environmental Policy Act of 1969, as amended.

29 U.S.C. 794 (section 504, Rehabilitation Act of 1973) and 7 CFR Part 15b (USDA implementation of statute)-- prohibiting discrimination based upon physical or mental handicap in Federally assisted programs.

35 U.S.C. 200 et seq.--Bayh-Dole Act, controlling allocation of rights to inventions made by employees of small business firms and domestic nonprofit organizations, including universities, in Federally assisted programs (implementing regulations are contained in 37 CFR Part 401).

E. Confidential Aspects of Applications and Awards

When an application results in a grant, it becomes a part of the record of CSREES transactions, available to the public upon specific request. Information that the Secretary determines to be of a confidential, privileged, or proprietary nature will be held in confidence to the extent permitted by law. Therefore, any information that the applicant wishes to have considered as confidential, privileged, or proprietary should be clearly marked within the application. The original copy of an application that does not result in a grant will be retained by the Agency for a period of one year. Other copies will be destroyed. Such an application will be released only with the consent of the applicant or to the extent required by law. An application may be withdrawn at any time prior to the final action thereon.

F. Regulatory Information

For the reasons set forth in the final Rule-related Notice to 7 CFR part 3015, subpart V (48 FR 29114, June 24, 1983), this program is excluded from the scope of the Executive Order 12372 which requires intergovernmental consultation with State and local officials. Under the provisions of the Paperwork Reduction Act of 1995 (44 U.S.C. chapter 35), the collection of information requirements contained in this Notice have been approved under OMB Document No. 0524-0039.

G. Definitions

Please refer to 7 CFR 3400.2 for the applicable definitions for this grant program.